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Approved for use through 07/31/2006. OMB 0651-0031  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

15

Application Number	10/802,225
Filing Date	March 16, 2004
First Named Inventor	Florencia Lim
Art Unit	3732
Examiner Name	Michael Colaianni
Total Number of Pages in This Submission	15
Attorney Docket Number	ACSC 68062 (2242XXD)

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		CUSTOMER NO. 24201

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

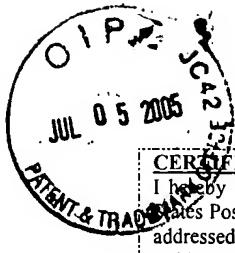
Firm Name	FULWIDER PATTON LEE & UTECHT, LLP		
Signature			
Printed name	Gunther O. Hanke		
Date	June 23, 2005	Reg. No.	32,989

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Gunther O. Hanke	Date	June 23, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 23, 2005.

Gunther O. Hapke, Reg. No. 32,989

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 10/802,225  
Applicant : Florencia Lim, et al.  
Filed : March 16, 2004  
Title : BALLOON CATHETER  
Art Unit : 3732  
Examiner : Michael Colaianni  
Docket No.: ACSC 68062 (2242XXD)  
Customer No. : 24201

**SUPPLEMENTAL REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

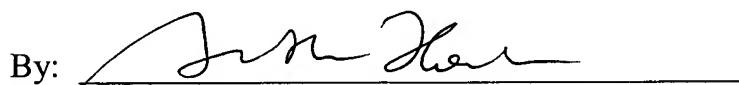
Dear Sir:

Applicants respectfully request correction of the Filing Receipt for the above-identified patent application mailed by the Patent Office on June 7, 2005. A copy of the Declaration and Power of Attorney along with a copy of the Revocation of Prior Powers of Attorney were submitted with the patent application on March 16, 2004 (see copy of stamped returned postcard, Declaration and Power of Attorney and Revocation of Prior Powers). On the Filing Receipt, the attorneys listed are incorrect as they are not the current listing from the Revocation of Prior Powers. A copy of the original Filing Receipt showing the requested correction in red ink is enclosed.

No fees are due with this communication. However, if a fee is in fact due,  
please charge our deposit account 06-2425. A duplicate of this paper is enclosed.

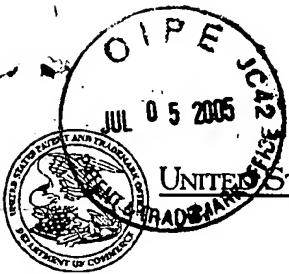
Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By:   
\_\_\_\_\_  
Gunther O. Hanke  
Registration No. 32,989

GOH:kst  
Enclosures

Howard Hughes Center  
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89957.1



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/802,225	03/16/2004	1732	770	ACSC 68062 (2242XXD)	3	4	1

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24201  
FULWIDER PATTON LEE & UTECHT, LLP  
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LOS ANGELES, CA 90045

JUN 10 2005

FULWIDER PATTON LEE & UTECHT \*OC000000016205251\*  
LOS ANGELES

CONFIRMATION NO. 3564

CORRECTED FILING RECEIPT



Date Mailed: 06/07/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Florencia Lim, Union City, CA;  
Nianjiang Bei, Mountain View, CA;  
Chi Le Long, San Jose, CA;

## Power of Attorney:

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Derek Freyberg-29250  
Herwig Von Morze-29484  
William Blake-30548  
Y Chow-30740

## Domestic Priority data as claimed by applicant

This application is a DIV of 09/733,120 12/08/2000 ABN  
which is a CIP of 09/295,694 04/21/1999 PAT 6,488,688  
which is a CIP of 09/063,969 04/21/1998 PAT 6,287,314

## Foreign Applications

If Required, Foreign Filing License Granted: 06/03/2004

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/802,225**

**Projected Publication Date:** Not Applicable

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Balloon catheter

**Preliminary Class**

264

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**LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



MAR 24 2004

FJL/TM

JUL 05 2005

Client ID/Matter No.: ACSC-68062 (22-12XXD)

Date Mailed: March 16, 2004

22386 U.S. PTO

Date Due: N/A

10/802225

Applicant(s) Florencia Lim et al.

New Utility Application

EXPRESS MAIL LABEL No.: EV 327063356 US



031604

Title: BALLOON CATHETER

Documents enclosed:

1. Utility Patent Application Transmittal (PTO/SB/05) – in duplicate
2. Fee Transmittal (Form PTO/SB/17) – in duplicate
3. Request for (1 Month) Extension of Time – in duplicate
4. COPY -Specification (34 sheets)
5. COPY -Claims (3 sheets)
6. COPY -Abstract (1 sheet)
7. COPY - Three (3) Sheets Informal Drawings
8. COPY - Declaration and Power of Attorney (5 sheets)
9. COPY - Revocation of Prior Powers of Attorney ...
10. Information Disclosure Statement – in duplicate
11. COPY - PTO 1449 Form from parent application
12. Check No. 085898 in the amount of \$880.00 for the filing fee and extension fees

The U.S. Patent and Trademark Office Mail Room stamp hereon acknowledges receipt of the items indicated above on the date shown.

GOH/psm

**COPY**

CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence (with all attachments) is being facsimile transmitted to Examiner Brian Pellegrino at (703) 308-2708, the Commissioner for Patents, on July 8, 2002.

Gunther O. Hanke, Registration No. 32,989

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: ) Examiner: Brian Pellegrino  
Inventors: Lim, et al. )  
Serial No.: 09/733,120 ) Group Art Unit: 3738  
Filed: December 08, 2000 ) Old Docket Nos.: 25141-2160  
For: BALLOON CATHETER ) 9600-7160  
 ) New Docket No. ACSC 59968 (2242)  
)

**REVOCATION OF PRIOR POWERS OF ATTORNEY,  
SUBSTITUTION OF ATTORNEY AND  
POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST**

Commissioner for Patents  
Washington, D.C. 20231

Sir/Madam:

As Assignee of record of the entire interest of the above-identified patent application, all powers of attorney previously given are hereby revoked, and the following attorneys and/or agents are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith:

EARL A. BRIGHT II, Registration No. 37,045; THOMAS A HASSING, Registration No. 36,159; TIM L. KITCHEN, Registration 41,900; PHILIP S. YIP, Registration No. 37,265; RICHARD A. BARDIN, Registration No. 20,365; GILBERT G. KOVELMAN; Registration No. 19,552; JOHN S. NAGY, Registration No. 30,664; THOMAS H. MAJCHER, Registration No. 31,119; THOMAS A. RUNK, Registration No. 30,679; RONALD E. PEREZ, Registration No. 36,891; JOHN V. HANLEY, Registration No. 38,171; RICHARD B. CATES, Registration No. 36,100; JOHN K. FITZGERALD, Registration No. 38,881; PAUL Y. FENG, Registration No. 35,510; GUNTHER O. HANKE, Registration No. 32,989; and JAMES JUO, Registration No. 36,177.

Direct all telephone calls to Gunther O. Hanke at telephone number (310) 824-5555.

**CORRESPONDENCE ADDRESS**

Address all correspondence to:

Gunther O. Hanke, Esq.  
FULWIDER PATTON LEE & UTECHT, LLP  
Howard Hughes Center  
6060 Center Drive, Tenth Floor  
Los Angeles, California 90045

**Customer No.: 24201**

Please change the attorney docket number from 25141-2160 or 9600-7160 to Docket No. ACSC 59968 (2242).

**ASSIGNEE STATEMENT UNDER 37 C.F.R. § 3.73(b)**

ADVANCED CARDIOVASCULAR SYSTEMS, INC. states that it is the Assignee of the entire right, title, and interest in the patent application identified above by virtue of an Assignment from the inventors identified above. The Assignment was recorded in the Patent and Trademark Office at Reel 011361, Frame 0363 on December 8, 2000.

The undersigned, whose title is indicated below, is empowered to sign this Power of Attorney and statement on behalf of the Assignee.

Dated: JUN 28 2002

  
TH Thomas R. Peterson  
Vice President, Secretary and General Counsel  
Advanced Cardiovascular Systems, Inc.  
3200 Lakeside Drive  
Santa Clara, California 95054-2807



## DECLARATION AND POWER OF ATTORNEY

As the below named inventors, we hereby declare that:

Our residence and post office addresses and our citizenships are as stated below next to our names.

We believe that we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled **BALLOON CATHETER**, for which an application for a United States Letters Patent is being submitted herewith.

— This application in part discloses and claims subject matter disclosed in earlier filed pending application Serial No. 09/295,694, filed April 21, 1999.

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application and to patentability as defined in Title 37, Code of Federal Regulations §1.56.

We hereby claim foreign priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed: None.

We hereby claim the benefit under Title 35, United States Code §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56; which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Application Serial No. 09/295,694, filed April 21, 1999

We hereby declare under penalty of perjury under the laws of the United States of America that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both,

under Title 18, United States Code §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint the following attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

WILLIAM B. ANDERSON, Reg. No. 41,585

VICTORIA L. BOYD, Reg. No. 43,510

Y. PING CHOW, Reg. No. 30,740

JAMES ALLAN FOX, Reg. No. 38,455

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THOMAS A. HASSING, Reg. No. 36,159

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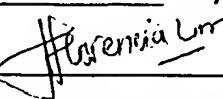
(408) 845-3000

Please direct all communications in this matter to:

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525 University Avenue, Suite 1100  
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Direct Dial: (650) 324-7098

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Executed on the 5<sup>th</sup> day of December, 2000

Inventor's Signature: 

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Post Office Address: (same as above)

Citizenship: United States of America

Full name of Second and Joint Inventor: NianJiong Bei

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Inventor's Signature: \_\_\_\_\_

Residence: 1901 Rock Street, #404, Mountain View, CA 94043

Post Office Address: (same as above)

Citizenship: Peoples' Republic of China

Full name of Third and Joint Inventor: Chi Le Long

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Inventor's Signature: \_\_\_\_\_

Residence: 2856 Plumas Drive, San Jose, CA 95121

Post Office Address: (same as above)

Citizenship: United States of America

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Direct Dial: (650) 324-7098

Full name of First and Joint Inventor: Florencia Lim

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Full name of Second and Joint Inventor: NianJiong Bei

Executed on the 28 day of Nov., 20\_\_\_\_

Inventor's Signature: NianJiong Bei

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Citizenship: Peoples' Republic of China

Full name of Third and Joint Inventor: Chi Le Long

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Full name of First and Joint Inventor: Florencia Lim

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